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<div style="display: flex; justify-content: space-between;"> <div style="text-align: center;"> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">11/19/01</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">U.S. PTO</p> </div> <div> <p style="text-align: center; font-weight: bold; font-size: 1.2em;">UTILITY PATENT APPLICATION TRANSMITTAL</p> <p style="text-align: center; font-size: 0.8em;">(Only for new nonprovisional applications under 37 CFR 1.53(b))</p> <p>Check Box, if applicable [ ] Duplicate</p> </div> </div>	Attorney Docket No.	981206A	Total Pages	<div style="display: flex; justify-content: space-between;"> <div style="text-align: center;"> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">11/19/01</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">U.S. PTO</p> </div> <div> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">09/98212</p> </div> </div>	
	First Named Inventor or Application Identifier				
	Hirotsoshi KUBO et al.				
	Express Mail Label No.				
	PAGE 1 OF 3				

APPLICATION ELEMENTS FOR: <b>SEMICONDUCTOR DEVICE AND A METHOD OF FABRICATING THE SAME</b>	ADDRESS TO: Assistant Commissioner for Patents BOX PATENT APPLICATIONS Washington, D.C. 20231
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1. ☒ Fee Transmittal Form (Incorporated within this form)  
(Submit an original and a duplicate for fee processing)
  
2. ☒ Specification, Claims, Abstract      Total Pages [37]
  
3. ☒ Drawing(s) (35 USC 113)      Total Sheets [16]
  
4. ☒ Oath or Declaration      Total Pages [2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from prior application (37 CFR 1.63(d) (for continuation/divisional with Box 17 completed).
    - i. ☐ Deletion of Inventor(s)  
Signed statement attached deleting inventor(s) named in prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  
5. ☒ Incorporation by reference (usable if box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
  
6. ☐ Microfiche Computer Program (Appendix)
  
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement Verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. [XX] Assignment to **SANYO ELECTRIC CO., LTD., Moriguchi-shi, Japan** in the prior Application Serial No. **09/161,828** filed on **September 29, 1998** has been recorded at Reel **9488**, Frame **0936** on **September 29, 1998**. Please **publish the assignee data with the application.**

9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)      ☐ Power of Attorney

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications  
under 37 CFR 1.53(b))

Attorney  
Docket No.

981206A

First Named Inventor or Application Identifier

Hirotooshi KUBO et al.

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10. ☐ English translation Document (if applicable)
11. ☒ Information Disclosure Statement w/PTO-1449 listing cited documents. ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
14. ☐ Small Entity Statement(s) ☐ Statement filed in prior application  
Status still proper and desired.
15. ☒ Claim for Convention Priority ☐ Certified copy of Priority Document(s)
- a. Priority of **Japanese** application no. **9-215025** filed on **August 8, 1997** is claimed under 35 USC 119. The certified copy has been filed in prior application no. 09/161,828 filed September 29, 1998.
16. ☒ If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:
- ☐ Continuation ☒ Division ☐ Continuation-in-part (CIP) of prior application no. 09/161,828 filed September 29, 1998.
- a. ☒ Please amend the specification by inserting after the title: - - **This application is a division of prior application Serial No. 09/161,828, filed September 29, 1998- -**.
- b. ☒ Cancel in this application original claims 1-11 of the prior application before calculating the filing fee.

FEE TRANSMITTAL	Number Filed	Number Extra	Rate	Basic Fee
The filing fee is calculated below				\$740.00
Total Claims	12 - 20	0	x \$18.00	0
Independent Claims	2 - 3	0	x \$84.00	0
Multiple Dependent Claims			\$280.00	
Basic Filing Fee				\$740.00
Reduction by 1/2 for small entity				
Fee for recording enclosed Assignment			\$0.00	
TOTAL				\$740.00

UTILITY PATENT  
APPLICATION TRANSMITTAL

(Only for new nonprovisional applications  
under 37 CFR 1.53(b))

Attorney Docket No.

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☒ A check in the amount of \$740.00 is enclosed to cover the filing fee.

☐ Please charge our Deposit Account No. 01-2340 in the total amount of \_ to cover the filing fee and the \_ assignment recordation fee. A duplicate of this sheet is attached.

☒ The Commissioner is hereby authorized to charge payment for any additional filing fees required under 37 CFR 1.16 or credit any overpayment to Deposit Account No. 01-2340. A duplicate of this sheet is attached.

8. CORRESPONDENCE ADDRESS



23850

PATENT TRADEMARK OFFICE

SUBMITTED BY

Typed or Printed Name: Stephen G. Adrian

Reg. No. 32,878

Signature

Date: November 19, 2001

SGA/arf

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